



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re application of: WOODWARD et al.

Attorney Docket No.: WVANP012

Patent: 7,308,423

Issued: December 11, 2007

[Application No.: 09/813,235]

Title: TECHNIQUE FOR HANDLING SALES
OF REGULATED ITEMS IMPLEMENTED
OVER A DATA NETWORK

**REQUEST FOR CERTIFICATE OF CORRECTION
OF OFFICE MISTAKE
(35 U.S.C. §254, 37 CFR §1.322)**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450
Attn: Certificate of Correction

Dear Sir:

Attached is Form PTO-1050 (Certificate of Correction) at least one copy of which is suitable for printing. The errors together with the exact page and line number where the errors are shown correctly in the application file are as follows:

CLAIMS:

Claim 1:

Column 18, line 2, "with the" should be --with an--

Claim 21:

Column 20, line 14, "OT" should be --or --

Claim 38:

Column 22, line 13, "configured or" should be --configured to--

**Certificate
of Correction
MAY 14 2009**

Patentee hereby requests expedited issuance of the Certificate of Correction because the error lies with the Office and because the error is clearly disclosed in the records of the Office. As required for expedited issuance, enclosed is documentation

that unequivocally supports the patentee's assertion without needing reference to the patent file wrapper

It is noted that the above-identified errors were printing errors that apparently occurred during the printing process. Accordingly, it is believed that no fees are due in connection with the filing of this Request for Certificate of Correction. However, if it is determined that any fees are due, the Commissioner is hereby authorized to charge such fees to Deposit Account 50-3874 (Order No. WVANP012).

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'C. Douglass Thomas', with a stylized, cursive script.

C. Douglass Thomas
Registration No. 32,947

UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 1 of 1

PATENT NO. : 7,308,423

APPLICATION NO.: 09/813,235

ISSUE DATE : December 11, 2007

INVENTOR(S) : WOODWARD et al.

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Column 18, line 2, "with the" should be --with an--

Column 20, line 14, "OT" should be --or --

Column 22, line 13, "configured or" should be --configured to--

MAILING ADDRESS OF SENDER (Please do not use customer number below):

IpVenture, Inc.
5150 El Camino Real, Bldg. A, Ste. 22
Los Altos, CA 94022

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION**Page 1 of 1

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Response to Rule 312 Communication	Application No.	Applicant(s)	
	09/813,235	WOODWARD ET AL.	
	Examiner	Art Unit	
	Marissa Thein	3627	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

1. ☒ The amendment filed on 24 September 2007 under 37 CFR 1.312 has been considered, and has been:

a) ☒ entered.

b) ☐ entered as directed to matters of form not affecting the scope of the invention.

c) ☐ disapproved because the amendment was filed after the payment of the issue fee.

Any amendment filed after the date the issue fee is paid must be accompanied by a petition under 37 CFR 1.313(c)(1) and the required fee to withdraw the application from issue.

d) ☐ disapproved. See explanation below.

e) ☐ entered in part. See explanation below.

 12/13/07
F. RYAN ZEENDER
PRIMARY EXAMINER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: WOODWARD et al.

Attorney Docket No.: WVANP012

Application No.: 09/813,235

Examiner: THEIN, Maria Teresa

Filed: March 19, 2001

Group: 3627

Title: TECHNIQUE FOR HANDLING SALES
OF REGULATED ITEMS IMPLEMENTED
OVER A DATA NETWORK

CERTIFICATE OF FACSIMILE

I hereby certify that this correspondence is being transmitted by facsimile to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on September 24, 2007.

Signed: _____

Pat Tate

AMENDMENT UNDER 37 CFR 1.312

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In response to the Notice of Allowance dated August 24, 2007, please amend the above-identified patent application as follows:

Amendments to the Specification are reflected on page 2 of this paper.

Amendments to the Claims are reflected in the listing of claims which begin on page 3 of this Amendment.

Remarks/Arguments begin on page 13 of this Amendment.

IN THE SPECIFICATION

On page 5, line 28, change "FIGURES 3A-3B" to read as "FIGURE 3A"

IN THE CLAIMS:

This listing of claims will replace all prior versions and listings of claims in the application:

Listing of Claims:

(Claim 108 has been amended.)

Claims 1-61 (Cancelled).

62. (Previously Presented) The system of claim 72 wherein said system further configured to implement on-line sales of products to the customer.

63. (Previously Presented) The system of claim 72 wherein the one or more predetermined criteria correspond to one or more regulations which restrict sales of the regulated item to persons in a particular jurisdiction.

64. (Previously Presented) The system of claim 63 wherein the one or more regulations restrict sales of the regulated item during specific time periods.

65. (Previously Presented) The system of claim 63 wherein the one or more regulations restrict sales of the regulated item during specific days.

66. (original) The system of claim 63 wherein the regulated item corresponds to a class of regulated products selected from the group consisting of: alcohol products, tobacco products, and dairy products.

67. (Previously Presented) The system of claim 72 wherein the one or more predetermined criteria correspond to regulations which prohibit delivery of the regulated item to persons in a particular jurisdiction.

68. (Previously Presented) The system of claim 72 wherein the one or more predetermined criteria correspond to regulations which restrict sales of the regulated item to persons under a minimum age.

Claim 69-71 (Cancelled).

72. (Previously presented) A system for implementing electronic commerce transactions via a data network, the system comprising:

at least one CPU;

memory; and

at least one interface configured to provide an interface with at least one customer via the data network;

the system configured to identify a regulated item selected by a customer, the regulated item corresponding to an item which satisfies one or more predetermined criteria, the one or more predetermined criteria indicating that the item is subject to one or more regulations;

the system configured to take action to prohibit purchase, via the data network, of the regulated item by the customer;

the regulated item being part of an on-line order from the customer with an on-line merchant, the on-line order also having information from the customer regarding a delivery time for the order;

the system configured to modify a display of items available for purchase by the customer, wherein the display modification includes restricting display of

items which are restricted by the one or more regulations from being purchased by the customer based upon the one or more predetermined criteria; and

the system is further configured to remove the regulated item from an electronic shopping cart associated with the customer in response to a determination that the regulated item is not allowed to be purchased by the customer based upon the one or more predetermined criteria.

73. (Previously Presented) The system of claim 72 wherein the processor is configured to store into the memory the one or more predetermined criteria, the one or more predetermined criteria including at least one regulation code parameter for use in identifying items which are associated with a class of regulated products; and

wherein the system is configured to associate a specific regulation code parameter with the regulated item.

74. (Previously Presented) The system of claim 72 wherein the processor is configured to store into the memory the one or more predetermined criteria, the one or more predetermined criteria including at least one condition parameter for use in identifying selected legal requirements which necessitate an invocation of at least one type of compliance action in order to comply with the selected legal requirements.

75. (Previously Presented) The system of claim 72 wherein the processor is configured to store into the memory the one or more predetermined criteria, the one or more predetermined criteria including at least one restriction parameter for use in identifying at least one type of compliance action to be performed in order to comply with legal regulations which restrict sales of the regulated item to persons in a particular jurisdiction.

76. (Previously Presented) The system of claim 72 further comprising:

an inventory subsystem comprising memory, said inventory subsystem including an inventory database configured to maintain inventory records of a plurality of items of merchandise;

a customer interface subsystem in communication with the inventory subsystem, said customer interface subsystem configured to store available inventory data from said inventory subsystem, and further configured to present selected item information relating to said inventory merchandise to at least one customer, said customer interface subsystem being further configured to facilitate customer shopping transactions, and to store customer order information; and

an order fulfillment subsystem in communication with said inventory subsystem, said order fulfillment subsystem being configured to receive said customer order information, said order information including at least one customer order for at least one item, said order fulfillment subsystem further configured to facilitate fulfillment of said customer order, wherein fulfillment of a customer order includes obtaining at least a portion of items relating to the order, and preparing the obtained items for shipment to the customer.

77. (Previously Presented) The system of claim 76 further comprising a delivery subsystem in communication with said customer interface subsystem and said inventory subsystem, said delivery subsystem being configured to receive items relating to at least one fulfilled customer order, said delivery subsystem further configured to facilitate delivery of said received items to said at least one customer.

Claims 78-95. (Cancelled).

96. (Previously Presented) The method of claim 101, wherein the delivery time is associated with a day of week, and wherein the one or more regulations

at least restrict the sale of the at least one regulated item on at least one day of the week.

97. (Previously Presented) The method of claim 101, wherein the at least one restriction requires an appropriate recipient to be present to receive the delivery.

98. (Previously Presented) The method of claim 101, wherein the one or more regulations depend on a location associated with the customer.

99. (Previously Presented) The method of claim 98, wherein the one or more regulations are acquired from a data store associated with a server system that performs said method, and wherein the data store stores a plurality of regulation limitations for a plurality of different locations.

100. (Previously Presented) The method of claim 101, wherein the one or more regulations prohibit delivery of the at least one regulated item at the delivery time, and wherein the customer can choose another delivery time or can subsequently remove the at least one regulated item from the online order and continue with the delivery time.

101. (Previously Presented) A computer-implemented method for implementing electronic commerce transactions via a data network, the method comprising:

identifying a regulated item selected by a customer, the regulated item corresponding to an item which satisfies one or more predetermined criteria, the one or more predetermined criteria indicating at least that the item is subject to one or more regulations; and

taking action to prevent the purchase of the regulated item via the data network by the customer;

wherein said taking action is automatically implemented at a server system configured to implement electronic commerce transactions between an on-line merchant and the customer, the regulated item being part of an on-line order from the customer with the on-line merchant, the on-line order also having information from the customer regarding a delivery time for the order; and

wherein said taking action comprises taking action to remove the regulated item from an electronic shopping cart associated with the customer, the removal of the regulated item from the electronic shopping cart being based on the one or more predetermined criteria and the delivery time.

102. (Previously Presented) The method of claim 101 wherein the one or more predetermined criteria correspond to one or more regulations which restrict sales of the regulated item to persons in a particular jurisdiction.

103. (Previously Presented) The method of claim 102 wherein the one or more regulations restrict sales of the regulated item during specific time periods.

104. (Previously Presented) The method of claim 102 wherein the one or more regulations restrict sales of the regulated item during at least one specific day.

105. (Previously Presented) The method of claim 102 wherein the regulated item corresponds to a class of regulated products selected from the group consisting of: alcohol products, tobacco products, and dairy products.

106. (Previously Presented) The method of claim 101 wherein the one or more predetermined criteria correspond to one or more regulations which prohibit delivery of the regulated item to persons in a particular jurisdiction.

107. (Previously Presented) The method of claim 101 wherein the one or more predetermined criteria correspond to one or more regulations which restrict sales of the regulated item to persons under a minimum age.

108. (Currently Amended) A system for implementing electronic commerce transactions via a data network, the system comprising:

at least one CPU;

memory; and

at least one interface configured to provide an interface with at least one customer via the data network;

the system being configured to identify a regulated item selected by a customer, the regulated item corresponding to an item which satisfies one or more predetermined criteria, the one or more predetermined criteria indicating that the item is subject to one or more regulations;

the system configured to take action to prohibit purchase, via the data network, of the regulated item by the customer;

the regulated item being part of an on-line order from the customer with an on-line merchant, the on-line order also having information from the customer regarding a delivery time for the order; and

the system is further configured to remove the regulated item from an electronic shopping cart associated with the customer in response to a determination that the regulated item is not allowed to be purchased by the customer based upon the one or more predetermined criteria.

109. (Previously Presented) The system of claim 108 wherein said system further configured to implement on-line sales of products to the customer.

110. (Previously Presented) The system of claim 108 wherein the one or more predetermined criteria correspond to one or more regulations which restrict sales of the regulated item to persons in a particular jurisdiction.

111. (Previously Presented) The system of claim 110 wherein the one or more regulations restrict sales of the regulated item during specific time periods.

112. (Previously Presented) The system of claim 110 wherein the one or more regulations restrict sales of the regulated item during specific days.

113. (Previously Presented) The system of claim 110 wherein the regulated item corresponds to a class of regulated products selected from the group consisting of: alcohol products, tobacco products, and dairy products.

114. (Previously Presented) The system of claim 108 wherein the one or more predetermined criteria correspond to regulations which prohibit delivery of the regulated item to persons in a particular jurisdiction.

115. (Previously Presented) The system of claim 108 wherein the one or more predetermined criteria correspond to regulations which restrict sales of the regulated item to persons under a minimum age.

116. (Previously Presented) The system of claim 108 wherein the system being further configured to modify a display of items available for purchase by the

customer, wherein the display modification includes visually indicating those items which are restricted by the one or more regulations from being purchased by the customer based upon the one or more predetermined criteria.

117. (Previously Presented) The system of claim 108 wherein the processor is configured to store into the memory the one or more predetermined criteria, the one or more predetermined criteria including at least one regulation code parameter for use in identifying items which are associated with a class of regulated products; and

wherein the system is configured to associate a specific regulation code parameter with the regulated item.

118. (Previously Presented) The system of claim 108 wherein the processor is configured to store into the memory the one or more predetermined criteria, the one or more predetermined criteria including at least one condition parameter for use in identifying selected legal requirements which necessitate an invocation of at least one type of compliance action in order to comply with the selected legal requirements.

119. (Previously Presented) The system of claim 108 wherein the processor is configured to store into the memory the one or more predetermined criteria, the one or more predetermined criteria including at least one restriction parameter for use in identifying at least one type of compliance action to be performed in order to comply with legal regulations which restrict sales of the regulated item to persons in a particular jurisdiction.

120. (Previously Presented) The system of claim 108 further comprising:

an inventory subsystem comprising memory, said inventory subsystem including an inventory database configured to maintain inventory records of a plurality of items of merchandise;

a customer interface subsystem in communication with the inventory subsystem, said customer interface subsystem configured to store available inventory data from said inventory subsystem, and further configured to present selected item information relating to said inventory merchandise to at least one customer, said customer interface subsystem being further configured to facilitate customer shopping transactions, and to store customer order information; and

an order fulfillment subsystem in communication with said inventory subsystem, said order fulfillment subsystem being configured to receive said customer order information, said order information including at least one customer order for at least one item, said order fulfillment subsystem further configured to facilitate fulfillment of said customer order, wherein fulfillment of a customer order includes obtaining at least a portion of items relating to the order, and preparing the obtained items for shipment to the customer.

121. (Previously Presented) The system of claim 120 further comprising a delivery subsystem in communication with said customer interface subsystem and said inventory subsystem, said delivery subsystem configured - to receive items relating to at least one fulfilled customer order, said delivery subsystem further being configured to facilitate delivery of said received items to said at least one customer.

REMARKS

Applicants thank the Examiner for the Notice of Allowance mailed August 24, 2007, which followed from the Request for Continued Examination filed May 23, 2007, which caused consideration and entry of the Amendment Under 37 CFR 1.312 filed January 8, 2007.

Claim 108 has been amended to make a minor grammatical improvement. In addition, with respect to the amendment to page 5 of the specification, Applicants respectfully request reversal of the Examiner's Amendment because the inconsistency was previously corrected by the Amendment filed November 21, 2006.

Claims 62-68, 72-77 and 96-121 remain pending in the application. Entry of this Amendment is respectfully requested.

If there are any issues remaining which the Examiner believes could be resolved through either a Supplemental Response or an Examiner's Amendment, the Examiner is respectfully requested to contact the undersigned representative.

Respectfully submitted,



C. Douglass Thomas
Reg. No. 32,947

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650-903-9200
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650-903-9800